

# “Check Before You Invest”

**BEFORE** investing your money, ask the person/company who is offering services (legal, investment, insurance, financial, etc.) to complete this form and leave it with you.

**What product(s) are you offering? :** (Check all that apply)

<input type="checkbox"/> Insurance	Type:	<input type="checkbox"/> Annuities	<input type="checkbox"/> Other: _____
<input type="checkbox"/> Investment	Type:	<input type="checkbox"/> Securities	<input type="checkbox"/> Other: _____
<input type="checkbox"/> Legal Services	Type:	<input type="checkbox"/> Living Trust	<input type="checkbox"/> Estate Planning <input type="checkbox"/> Other: _____
<input type="checkbox"/> Investment Advice	Type:	<input type="checkbox"/> Financial Planning	<input type="checkbox"/> Other: _____
<input type="checkbox"/> Financial	Type:	<input type="checkbox"/> Accountant	<input type="checkbox"/> Other: _____
<input type="checkbox"/> Other: _____			

**Who regulates or registers/licenses this product or service?**

<input type="checkbox"/> New Jersey Bureau of Securities	<input type="checkbox"/> New Jersey Board of Accountancy
<input type="checkbox"/> New Jersey Division of Banking	<input type="checkbox"/> New Jersey Division of Insurance
<input type="checkbox"/> New Jersey Real Estate Commission	

**What registration(s)/license(s) do you hold that authorize you to sell this product/service?**

REGISTRATION/LICENSE TYPE	REGISTRATION/LICENSE INFORMATION
Insurance License	License No:
Securities Registration	CRD No:
Investment Adviser Representative	CRD No:
State Bar License	State Bar No:
Accountant License	CPA No.
Real Estate License	License No:
Other	Explain:

## Seller/Agent Information

Seller/Agent Name: \_\_\_\_\_

Company/Business Name: \_\_\_\_\_

Company/Business Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_

Today's Date: \_\_\_\_\_



Once the information on the front side of this form has been filled out and left with you, either visit the website of or call the appropriate agency to confirm that the person/company holds a valid license (i.e. is **both** registered/licensed and authorized to sell/offer the product to you) **BEFORE** you **INVEST** your money with anyone.

**New Jersey Bureau of Securities**

1-866-I Invest

[www.NJSecurities.gov](http://www.NJSecurities.gov)

**New Jersey Board of Accountancy**

(973) 504-6380

<http://www.njconsumeraffairs.gov/accountancy>

**New Jersey Division of Banking**

1-800-446-7467

[http://www.state.nj.us/dobi/division\\_banking](http://www.state.nj.us/dobi/division_banking)

**New Jersey Division of Insurance**

1-800-446-7467

[http://www.state.nj.us/dobi/division\\_insurance](http://www.state.nj.us/dobi/division_insurance)

**New Jersey Real Estate Commission**

1-800-446-7467

[http://www.state.nj.us/dobi/division\\_rec](http://www.state.nj.us/dobi/division_rec)

In addition, please use the Bureau of Securities Financial Adviser Questionnaire or Investment Adviser Questionnaire, available at [www.NJSecurities.gov](http://www.NJSecurities.gov), when selecting your financial professionals.

A knowledgeable investor is a “**safe**” investor.  
Check before you invest!